

J1132 U.S. PTO  
08/24/01

08-27-01

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PTO/SB/05 (11-00)

Approved for use through 10/31/2002. OMB 0651-0032

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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## UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. 004524.P056  
(maximum 12 characters)

First Named Inventor Scott W. Sparrold, et al

Title: FREE SPACE POINT-TO-MULTIPOINT OPTICAL COMMUNICATION SYSTEM AND APPARATUS

Express Mail Label No. EL861981272US

ADDRESS TO: Assistant Commissioner for Patents  
Box Patent Application  
Washington, D. C. 20231

J1132 U.S. PTO  
08-27-01  
09/938906

### APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1.  Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original, and a duplicate for fee processing)
2.  Applicant Claims Small Entity Status. (37 CFR 1.27)
3.  Specification (Total Pages 33)  
(preferred arrangement set forth below)
  - Descriptive Title of the Invention
  - Cross Reference to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference sequence listing, a table, or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
4.  Drawings(s) (35 USC 113) (Total Sheets 9)
5.  Oath or Declaration (Total Pages   )
  - a.  Newly Executed (Original or Copy)
  - b.  Copy from a Prior Application (37 CFR 1.63(d))  
(for Continuation/Divisional with Box 17 completed)
    - i.  DELETIONS OF INVENTOR(S) Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
    - c.  Unsigned.
6.  Application Data Sheet. (37 CFR 1.76)
7.  CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8.  Nucleotide and/or Amino Acid Sequence Submission  
(if applicable, all necessary)
  - a.  Computer Readable Form (CRF)
  - b.  Specification Sequence Listing on:
    - i.  CD-ROM or CD-R (2 copies); or
    - ii.  paper
  - c.  Statement verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

9.  **Assignment Papers (cover sheet & documents(s))**  
10.  a. Separate 37 CFR 3.73(b) Statement (where there is an assignee)  
       b. Power of Attorney  
11.  English Translation Document (if applicable)  
12.  a. Information Disclosure Statement (IDS)/PTO-1449  
       b. Copies of IDS Citations  
13.  **Preliminary Amendment**  
14.  **Return Receipt Postcard (MPEP 503) (Should be specifically itemized)**  
15.  Certified Copy of Priority Document(s) (if foreign priority is claimed)  
16.  **Request and Certification under 35 U.S.C. 122(b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.**  
17.  Other: Separate sheet with title, express mail label, copy of postcard and attorney's signature

18A. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information:

Continuation       Divisional       Continuation-in-part (CIP)  
Of Prior Application No.: \_\_\_\_\_ Examiner \_\_\_\_\_ Group Art Unit \_\_\_\_\_  
(which is a  continuation/  divisional/  CIP of prior application no. \_\_\_\_\_,  
which is a  continuation/  divisional/  CIP of prior application no. \_\_\_\_\_) (List entire chain of priority)

Applicant(s): Also include a Preliminary Amendment to amend the specification to claim priority.

For CONTINUATION AND DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

18B. Statement under 37 CFR 3.73(b) for continuing application:

The undersigned states that \_\_\_\_\_ (name of assignee) is the assignee of the entire right, title, and interest in the accompanying patent application by virtue of an assignment recorded in the Patent and Trademark Office at Reel. No. \_\_\_\_\_ Frame No. \_\_\_\_\_ (or a copy of which is attached).

19. Correspondence Address

Customer Number or Bar Code Label \_\_\_\_\_  
or \_\_\_\_\_ (Insert Customer No. or Attach Bar Code Label here)

Correspondence Address Below

NAME Dennis M. de Guzman

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP

ADDRESS 12400 Wilshire Boulevard

Seventh Floor

CITY Los Angeles STATE California ZIP CODE 90025-1026

Country U.S.A. TELEPHONE (206) 292-8600 FAX (206) 292-8606

Name (PRINT/TYPE): Dennis M. de Guzman Registration No.: 41,702

Signature: Dennis M. de Guzman Date: 8/24/01



### 3. ADDITIONAL FEES

<u>Large Entity</u>	<u>Small Entity</u>	<u>Fee Description</u>	<u>Fee Paid</u>		
Fee	Fee	Fee	Fee		
Code	(\$)	Code	(\$)		
105	130	205	65	Surcharge - late filing fee or oath	_____
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	_____
139	130	139	130	Non-English specification	_____
147	2,520	147	2,520	For filing a request for ex parte reexamination	_____
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	_____
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	_____
115	110	215	55	Extension for reply within first month	_____
116	390	216	195	Extension for reply within second month	_____
117	890	217	445	Extension for reply within third month	_____
118	1,390	218	695	Extension for reply within fourth month	_____
128	1,890	228	945	Extension for reply within fifth month	_____
119	310	219	155	Notice of Appeal	_____
120	310	220	155	Filing a brief in support of an appeal	_____
121	270	221	135	Request for oral hearing	_____
138	1,510	138	1,510	Petition to Institute a public use proceeding	_____
140	110	240	55	Petition to revive - unavoidable	_____
141	1,240	241	620	Petition to revive - unintentional	_____
142	1,240	242	620	Utility issue fee (or reissue)	_____
143	440	243	220	Design issue fee	_____
144	600	244	300	Plant issue fee	_____
122	130	122	130	Petitions to the Commissioner	_____
123	50	123	50	Processing fee under 37 CFR 1.17(q)	_____
126	180	126	180	Submission of Information Disclosure Stmt	_____
581	40	581	40	Recording each patent assignment per property (times number of properties)	_____
146	710	246	355	For filing a submission after final rejection (see 37 CFR 1.129(a))	_____
149	710	249	355	For each additional invention to be examined (see 37 CFR 1.129(b))	_____
179	710	279	355	Request for Continued Examination (RCE)	_____
169	900	169	900	Request for expedited examination of a design application	_____
195	300	195	300	Publication fee for early, voluntary, or normal publication	_____
196	300	196	300	Publication fee for republication	_____
194	130	194	130	Request for voluntary publication or republication	_____
098	130	098	130	Processing fee under 37 CFR 1.17(i)	_____
091	1,240	091	1,240	Acceptance of unintentionally delayed claim for priority	_____

Other fee (specify) \_\_\_\_\_

Other fee (specify) \_\_\_\_\_

SUBTOTAL (3) \$ \_\_\_\_\_

\*Reduced by Basic Filing Fee Paid

SUBMITTED BY:

Typed or Printed Name: Dennis M. de Guzman

Signature: Dennis M. de Guzman Date: 8/24/01

Reg. Number: 41,702 Telephone Number: (206)292-8600

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

**REQUEST AND CERTIFICATION UNDER 35 U.S.C. 122(b)(2)(B)(i)**

First Named Inventor Scott W. Sparrold, et al  
Title FREE SPACE POINT-TO-MULTIPOINT OPTICAL COMMUNICATION SYSTEM AND APPARATUS

Attorney Docket No. 004524.P056

I hereby certify that the invention disclosed in the attached application **has not and will not be** the subject of an application filed in another country, or under a multilateral agreement, that requires publication at eighteen months after filing. I hereby request that the attached application not be published under 35 U.S.C. 122(b).

8/24/01

Date



Signature

Dennis M. de Guzman

Typed or Printed Name

41,702

Registration No.

This request must be signed in compliance with 37 CFR 1.33(b) and submitted with the application **upon filing**.

Applicant may rescind this nonpublication request at any time. If applicant rescinds a request that an application not be published under 35 U.S.C. 122(b), the application will be scheduled for publication at eighteen months after the earliest claimed filing date for which a benefit is claimed.

If applicant subsequently files an application directed to the invention disclosed in the attached application in another country, or under a multilateral international agreement, that requires publication of applications eighteen months after filing, the applicant **must** notify the United States Patent and Trademark Office of such filing within forty-five (45) days after the date of filing of such foreign or international application. **Failure to do so will result in abandonment of this application (35 U.S.C. 122(b)(2)(B)(iii)).**

Send to: Assistant Commissioner for Patents, Washington, D.C. 20231

FREE SPACE POINT-TO-MULITPOINT OPTICAL COMMUNICATION  
SYSTEM AND APPARATUSInventors: Scott W. Sparrold  
Eric L. Upton  
Albert O. Okorogu

Respectfully submitted,

BLAKELY SOKOLOFF TAYLOR &amp; ZAFMAN LLP

Dennis M. de Guzman  
Reg. No. 41,702"Express Mail" mailing label number: EL861981272USDate of Deposit: August 24, 2001

I hereby certify that I am causing this paper or fee to be deposited with the United States Postal Service "Express Mail Post Office to Addressee" service on the date indicated above and that this paper or fee has been addressed to the Assistant Commissioner for Patents, Washington, D. C. 20231

Paige A. Johnson

(Typed or printed name of person mailing paper or fee)

(Signature of person mailing paper or fee)

(Date signed)

Serial/Patent No.: New ApplicationFiling/Issue Date: HerewithClient: Terabeam CorporationTitle: FREE SPACE POINT-TO-MULITPOINT OPTICAL COMMUNICATION SYSTEM  
AND APPARATUSBSTZ File No.: 004524 P056Atty/Secty Initials: DMG:pajDate Mailed: August 24, 2001

Docket Due Date:

The following has been received in the U.S. Patent &amp; Trademark Office on the date stamped hereon:

Amendment/Response (\_\_\_\_ pgs.)  Express Mail No. **EL861981272US**  Check No. **1594**  
 Appeal Brief (\_\_\_\_ pgs.) (in triplicate)  Month(s) Extension of Time Amt: **\$1060.00**  
 Application - Utility (\_\_\_\_ pgs., with cover and abstract)  Information Disclosure Statement & PTO-149 (\_\_\_\_ pgs.)  Check No. \_\_\_\_\_  
 Application - Rule 1.53(b) Continuation (\_\_\_\_ pgs.)  Issue Fee Transmittal  
 Application - Rule 1.53(b) Divisional (\_\_\_\_ pgs.)  Notice of Appeal  
 Application - Rule 1.53(b) CIP (\_\_\_\_ pgs.)  Petition for Extension of Time  
 Application - Rule 1.53(d) CPA Transmittal (\_\_\_\_ pgs.)  Petition for \_\_\_\_\_  
 Application - Design (\_\_\_\_ pgs.)  Postcard  
 Application - PCT (\_\_\_\_ pgs.)  Power of Attorney (\_\_\_\_ pgs.)  
 Application - Provisional (\_\_\_\_ pgs.)  Preliminary Amendment (\_\_\_\_ pgs.)  
 Assignment and Cover Sheet  Reply Brief (\_\_\_\_ pgs.)  
 Certificate of Mailing  Response to Notice of Missing Parts  
 Declaration & POA (\_\_\_\_ pgs.)  Small Entity Declaration for Indep. Inventor/Small Business  
 Disclosure Docs & Oig & Cpy of Invenols Signed Letter (\_\_\_\_ pgs.)  Transmittal Letter, in duplicate (3 pgs. each)  
 Drawings: 9 # of sheets includes 16 figures  Fee Transmittal, in duplicate (2 pgs. each)

Other: Separate sheet with title, express mail label, copy of postcard and attorney's signature; Nonpublication Request SB/35 (3rd page of Transmittal Letter)